



## TRANSMITTAL FORM



07/20/2000

Version: 1.0.0

Application Type: Utility Patent Filing

# TRANSVERSE OPTICAL FIBER DEVICES FOR OPTICAL SENSING, SWITCHING, AND STORAGE

Application No.: 09/575,709

Attorney Docket No.: 06618/488001/CIT/3024

First Named Inventor: Mr. Louis A. Madsen

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*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

Email Address: **sch@fr.com**

Attached small-entity-statement: **SENT.TIF**

Attached declaration: **declaration.tif**

Attached fee-transmittal: **06618-488001SUBfee.xml**

Attached specification: **CIT-CIT(EFS).xml**

### SUBMITTED BY

Attorney or Agent Name: **Mr. Scott C. Harris**

Electronic Signature Mark: **sch**

Date Signed: **20000720**

Registration Number: **32,030**

ATTORNEY DOCKET NO. 06618/488001/CIT30224

Applicant or Patentee: Louis A. Madsen et al.  
Serial or Patent No.:  
Filed or Issued: Herewith  
For: TRANSVERSE FIBER-OPTIC POSITION SENSORS

CIT 3024

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: California Institute of Technology  
Address of Organization: 1200 East California Blvd., Pasadena, CA 91125  
Type of Organization:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE: )  
(CITATION OF STATUTE: )  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF  
LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF  
AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE: )  
(CITATION OF STATUTE: )

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled TRANSVERSE FIBER-OPTIC POSITION SENSORS by inventor(s) LOUIS A. MADSEN AND DANIEL P. WSEITEKAMP described in

- ☒ the specification filed herewith.  
☐ application serial no. , filed .  
☐ patent no. , issued .

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status when any new rule 53 application is filed or prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name: Adam Cochran

Title: The Intellectual Property Counsel

Address: 1200 East California Blvd., Pasadena, CA 91125

Signature: 

Date: JUL 19 1999

# FEE TRANSMITTAL

Electronic Version: 1.0.1

*Patent fees are subject to annual revisions on or about October 1st of each year. Small entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See 37 C.F.R. Sections 1.27 and 1.28.*

Filing As Small Entity  
• Nonprofit Organization

**Total payment: \$ 1272.00**

**The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:**

Deposit Account Number: 06-1050

Deposit Account Name: Fish and Richardson P.C. 06618/488001

## BASIC FILING FEE

Fee Description	Fee Paid
Utility Filing Fee	\$ 345

Subtotal For Basic Filing Fee: \$ 345.00

## EXTRA CLAIM FEES

	Extra Claims			Fee	Fee Paid
Total Claims	84	-	20	64 x \$ 9	\$ 576.00
Independent Claims	12	-	3	9 x \$ 39	\$ 351.00

Subtotal For Extra Claims Fees: \$ 927.00

## SUBMITTED BY

Attorney or Agent Name: Mr. Scott C. Harris  
Registration Number: 32,030  
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Date Signed: 20000720